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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/542,716	04/04/2000	Allan Havemose	AMI990003	5108

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EXAMINER

OPIE, GEORGE L

ART UNIT	PAPER NUMBER
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2126

DATE MAILED: 11/19/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

Applicant(s)

09/542,716

Havemose

Examiner

Art Unit

George L. Opie

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).

Status

- 1) ☒ Responsive to communication(s) filed on 3 September 2003.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 7-8 and 13-20 is/are pending in the application.
- 4a) Of the above claim(s) ☐ is/are withdrawn from consideration.
- 5) ☐ Claim(s) ☐ is/are allowed.
- 6) ☒ Claim(s) 7-8 and 13-20 is/are rejected.
- 7) ☐ Claim(s) ☐ is/are objected to.
- 8) ☐ Claim(s) ☐ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ☐ is/are objected to by the Examiner.
- 11) ☐ The proposed drawing correction filed on ☐ is: a) ☐ approved b) ☐ disapproved.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
- a) ☐ All b) ☐ Some * c) ☐ None of the CERTIFIED copies of the priority documents have been:
1. ☐ received.
 2. ☐ received in Application No. (Series Code / Serial Number) ☐.
 3. ☐ received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. & 119(e).

Attachment(s)

- 14) ☐ Notice of References Cited (PTO-892) 17) ☐ Interview Summary (PTO-413) Paper No(s). ☐.
- 15) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 18) ☐ Notice of Informal Patent Application (PTO-152)
- 16) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) ☐ 19) ☐ Other: ☐

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DETAILED ACTION

This Office Action is responsive to Amendment A, in which claim 7 was amended, and claims 1-6 and 9-12 were cancelled.

The Office acknowledges Applicant's inclusion of an electronic copy of the amendment on a 3½inch floppy disk, and the Office would like to thank Applicant for submitting the amendment in electronic form to expedite its processing.

1. The U.S. Patents used in the art rejections below have been provided as text documents which correspond to the U.S. Patents. The relevant portions of the text documents are cited according to page and line numbers in the art rejections below. For the convenience of Applicant, the cited sections are highlighted in the *text documents*. Consistent with Office procedure, the U.S. Patents corresponding to the *text documents* are also included with this action.

2. Claim Rejections - 35 U.S.C. § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 7-8 and 13-20 are rejected under 35 U.S.C. § 103(a) as being unpatentable over Dancs et al. (u.S. Patent 6,385,651) in view of Krantz et al. (u.S. Patent 5,832,209).

As to claim 7, Dancs teaches a method for "providing managed access to network computer devices", p4 11-23 comprising

"network computer client device (NC) ... sends the relationship server a unique identifier ... the NC also transmits an enterprise identification number ... uniquely specifying the ISP to which the user wishes to connect", abstract

"relationship server 111 looks up the manufacturer identification number in the database 112 ", p5 39-57

"the relationship server determines whether the specified manufacturer has authorized connection to the specified ISP", p2 43 – p3 7 and

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"NC client 101 ... authorized services.", p5 39-57

Dancs does not explicitly disclose the additional limitations detailed below.

Krantz teaches receiving an authentication interface dynamic base object including an appliance service request having an appliance type and identifier (object in a client application to identify the user and tasks/operations the user may access and identify where the client is running. The CAP object is used by the target object in the server application to authorize interactions, p4 32-55). It would have been obvious to combine the teachings of Krantz with Dancs because Krantz's object authentication would provide Dancs with a central object-oriented security paradigm for effectively managing appliance interaction in the distributed computing environment.

As to claim 8, Dancs teaches information containing the services provided to the appliance, p5 39-57.

As to claim 13, Dancs teaches a method for "providing managed access to network computer devices", p4 11-23

"network computer client device ... transmits an enterprise identification number ... uniquely specifying the ISP to which the user wishes to connect", abstract, and

the client "connects to a central relationship server" that makes the authentication determination and, if the client is authorized "the relationship server transmits NC connection information for the ISP ... ", p2 34 – p3 7.

Dancs does not explicitly disclose the additional limitations detailed below.

Krantz teaches user authentication "through centralized object authorization in a distributed computer network", p1 55-57

"the client application contacts the server and" p6 37-52 initiates authentication, then "OAS 240 issues a continue or stop instruction ... and the server application will either perform or reject the client application request(s) accordingly."

It would have been obvious to combine the teachings of Krantz with Dancs because Krantz's object authentication would provide Dancs with a central object-oriented security paradigm for effectively managing appliance interaction in the distributed computing environment.

As to claims 14-17, Krantz (p4 19-50) provides the object-oriented paradigm that would support Dancs's (pp8-15) billing mechanisms, thereby producing dynamic object interfaces for handling the requisite accounting transactions.

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As to claim 18, Dancs (p5 39-57) teaches providing client transmits its device info including, inter alia, the manufacturer identification number, the model number and the device serial number, , sans the user's identity.

As to claim 19, Dancs (p14 46-55) teaches the ISP server handles account data including "credit card billing" systems.

As to claim 20, Krantz teaches "authentication through encryption to allow the distributed counterparts of objects to authenticate one another", p3 44-52.

4. The prior art of record and not relied upon is considered pertinent to the applicant's disclosure. Each reference disclosed below is relevant to one or more of the Applicant's claimed invention.

U.S. Patent No. 6,510,236 to Crane et al. which teaches the central authentication server;

U.S. Patent No. 6,385,729 to DiGiorgio et al. which teaches the object authorization for payment transactions;

U.S. Patent No. 6,219,790 to Lloyd et al. which teaches the centralized server for securing client authentication and accounting information;

U.S. Patent No. 5,727,145 to Nessett et al. which teaches the client-server authentication in a distributed object system.

5. Response to Applicant's Arguments:

Applicant argues (claims 7 and 13) that Krantz's object teachings as combined with the centralized registration operations taught by Dancs do not meet the limitation of an authentication object as presented in the pending claims.

Contrary to Applicant's contention, the Krantz reference does teach the recited authentication interface base object for managing the access to services in a network. Krantz clearly conveys the concept of using a dynamic base object to facilitate authorization/control with respect to a content provider. Krantz (p4 32-55) shows how objects containing client info are employed to facilitate access permissions to specific applications/content. These authentication objects are sent to servers which provide the requested applications. Applying the object-oriented operations detailed by Krantz to the managed access system of Dancs would have been a natural implementation of the object paradigm, as the ubiquitous and proven attributes of object infrastructures would provide a governing efficacy for network computing systems communications. The teachings of Dancs and Krantz, taken together, clearly show the authentication of a client with a requested content provider using a dynamic base object as claimed.

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In considering the authentication interface object and network service recitations, it is noted that Applicant uses terminology that has broad meaning in the art, and thus requires a broad interpretation of the claims in determining patentability of the disclosed invention. Although the claims are interpreted in light of the specification, limitations from the specification are not read into the claims. See *In re Van Geuns*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993). Applicant's current claims contain coverage breadth which is inconsistent with breadth of the disclosure and are not found distinguishable above the prior art of record.

In light of the teachings from Dancs and Krantz, the recited object-based centralized authentication system as presently presented in the pending claims does not constitute a non obvious improvement over the prior art.

Applicant's arguments, filed 3 September 2003, have been fully considered but they are not deemed to be persuasive. For the reasons detailed above, the rejections under **35 U.S.C. § 103** are maintained as set forth supra.

The Office acknowledges Applicant's inclusion of an electronic copy of the amendment on a 3½inch floppy disk, and the Office would like to thank Applicant for submitting the amendment in electronic form to expedite its processing.

6. THIS ACTION IS MADE FINAL.

A SHORTENED STATUTORY PERIOD FOR RESPONSE TO THIS FINAL ACTION IS SET TO EXPIRE THREE MONTHS FROM THE DATE OF THIS ACTION. IN THE EVENT A FIRST RESPONSE IS FILED WITHIN TWO MONTHS OF THE MAILING DATE OF THIS FINAL ACTION AND THE ADVISORY ACTION IS NOT MAILED UNTIL AFTER THE END OF THE THREE-MONTH SHORTENED STATUTORY PERIOD, THEN THE SHORTENED STATUTORY PERIOD WILL EXPIRE ON THE DATE THE ADVISORY ACTION IS MAILED, AND ANY EXTENSION FEE PURSUANT TO 37 C.F.R. § 1.136(a) WILL BE CALCULATED FROM THE MAILING DATE OF THE ADVISORY ACTION. IN NO EVENT WILL THE STATUTORY PERIOD FOR RESPONSE EXPIRE LATER THAN SIX MONTHS FROM THE DATE OF THIS FINAL ACTION.

7. Request for copy of Applicant's response on floppy disk:

Please help expedite the prosecution of this application by including, along with your amendment response in paper form, an electronic file copy in WordPerfect, Microsoft Word, or in ASCII text format on a 3½ inch IBM format floppy disk. Please include all pending claims along with your responsive remarks. Only the

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paper copy will be entered -- your floppy disk file will be considered a duplicate copy. Signatures are not required on the disk copy. The floppy disk copy is not mandatory; however, it will help expedite the processing of your application. Your cooperation is appreciated.

8. Contact Information:

PTO Policy for Facsimile Submissions:


- ☐ AFTER-FINAL faxes must be signed and sent to (703) 746-7238.
- ☐ OFFICIAL faxes must be signed and sent to (703) 746-7239.
- ☐ NON OFFICIAL faxes should be sent to (703) 746-7240.

All OFFICIAL faxes will be handled and entered by the docketing personnel. The date of entry will correspond to the actual FAX reception date unless that date is a Saturday, Sunday, or a Federal Holiday within the District of Columbia, in which case the official date of receipt will be the next business day. The application file will be promptly forwarded to the Examiner unless the application file must be sent to another area of the Office, e.g., Finance Division for fee charging, etc.

- ☐ All responses sent by U.S. Mail should be mailed to:

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

- ☐ Hand-delivered responses should be brought to Crystal Park Two, 2021 Crystal Drive, Arlington, VA., Sixth Floor (Receptionist). All hand-delivered responses will be handled and entered by the docketing personnel. Please do not hand deliver responses directly to the Examiner.
- ☐ Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist at (703) 305-9600.
- ☐ Any inquiry concerning this communication or earlier communications from the examiner should be directed to George Opie at (703) 308-9120 or via e-mail at *George.Opie@uspto.gov*. Internet e-mail should not be used where sensitive data will be exchanged or where there exists a possibility that sensitive data could be identified unless there is an express waiver of the confidentiality requirements under 35 U.S.C. 122 by the Applicant. Sensitive data includes confidential information related to patent applications.


ZARNI MAUNG
PRIMARY EXAMINER